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PTO/SB/21 (08-03)  
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U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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## TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Application Number 09/711,323

Filing Date November 9, 2000

First Named Inventor de Jesus Valdes, et al.

Group Art Unit 2131

Examiner Name Moorthy, Aravind K.

Attorney Docket Number SRI/4190-3

Total Number of Pages in This Submission 4

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OCT 28 2004

Technology Center 2100

### ENCLOSURES (check all that apply)

☒ Fee Transmittal Form

☐ Fee Attached

☐ Amendment / Response

☐ After Final

☐ Affidavits/declaration(s)

☐ Extension of Time Request

☐ Express Abandonment Request

☒ Information Disclosure Statement

☐ Certified Copy of Priority Document(s)

☐ Response to Missing Parts/  
Incomplete Application

☐ Response to Missing Parts  
under 37 CFR 1.52 or 1.53

☐ Drawing(s)

☐ Licensing-related Papers

☐ Petition

☐ Petition to Convert to a  
Provisional Application

☐ Power of Attorney, Revocation  
Change of Correspondence Address

☐ Terminal Disclaimer

☐ Request for Refund

☐ CD, Number of CD(s) \_\_\_\_\_

☐ After Allowance Communication to  
Group

☐ Appeal Communication to Board of  
Appeals and Interferences

☐ Appeal Communication to Group  
(Appeal Notice, Brief, Reply Brief)

☐ Proprietary Information

☐ Status Letter

☒ Other Enclosure(s)  
(please identify below):

Copies of cited references;  
Return Addressed Postcard

Remarks

### SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm  
or  
Individual name

Kin-Wah Tong, Esq.  
Moser, Patterson & Sheridan, LLP

Signature

Date

10/20/04

### CERTIFICATE OF TRANSMISSION/MAILING

I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below.

Typed or printed name Barbara J. Jackson

Signature

Date

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OCT 25 2004  
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# FEE TRANSMITTAL for FY 2004

Effective 10/01/2003. Patent fees are subject to annual revision.

☐ Applicant Claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$) 180

Complete if Known

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Application Number 09/711,323

Filing Date November 9, 2000

OCT 28 2004

First Named Inventor de Jesus Valdes, et al.

Technology Center 2100

Examiner Name Moorthy, Aravind K.

Group / Art Unit 2131

Attorney Docket No. SRI 4190-3

## METHOD OF PAYMENT (check all that apply)

☐ Check ☐ Credit Card ☐ Money ☐ Other ☐ None

☒ Deposit Account

Deposit Account Number 20-0782

Deposit Account Name Moser, Patterson & Sheridan, LLP.

The Director is authorized to: (Check all that apply)

☒ Charge fee(s) indicated below ☒ Credit any overpayments

☒ Charge any additional fee(s) or any underpayment of fee(s)

☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account

## FEE CALCULATION

### 1. BASIC FILING FEE

Large	Entity	Small	Entity	Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1001	770	2001	385	Utility filing fee	
1002	340	2002	170	Design filing fee	
1003	530	2003	265	Plant filing fee	
1004	770	2004	385	Reissue filing fee	
1005	160	2005	80	Provisional filing fee	

SUBTOTAL (1)

(\$0)

### 2. EXTRA CLAIM FEES

Total Claims	Independent Claims	Multiple Dependent	Extra Claims	Fee from below	Fee Paid

Large	Entity	Small	Entity	Fee Description
Fee Code	Fee (\$)	Fee Code	Fee (\$)	
1202	18	2202	9	Claims in excess of 20
1201	86	2201	43	Independent claims in excess of 3
1203	290	2203	145	Multiple dependent claim, if not paid
1204	86	2204	43	** Reissue independent claims over original patent
1205	18	2205	9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2)

(\$0)

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

Large	Entity	Small	Entity	Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1051	130	2051	65	Surcharge - late filing fee or oath	
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet.	
1053	130	1053	130	Non-English specification	
1812	2,520	1812	2,520	For filing a request for reexamination	
1804	920*	1804	920*	Requesting publication of SIR prior to Examiner action	
1805	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action	
1251	110	2251	55	Extension for reply within first month	
1252	420	2252	210	Extension for reply within second month	
1253	950	2253	475	Extension for reply within third month	
1254	1,480	2254	740	Extension for reply within fourth month	
1255	2,010	2255	1,005	Extension for reply within fifth month	
1401	330	2401	165	Notice of Appeal	
1402	330	2402	165	Filing a brief in support of an appeal	
1403	290	2403	145	Request for oral hearing	
1451	1,510	2451	1,510	Petition to institute a public use proceeding	
1452	110	2452	55	Petition to revive - unavoidable	
1453	1,330	2453	665	Petition to revive - unintentional	
1501	1,330	2501	665	Utility issue fee (or reissue)	
1502	480	2502	240	Design issue fee	
1503	640	2503	320	Plant issue fee	
1460	130	1460	130	Petitions to the Commissioner	
1807	50	1807	50	Processing fee under 37 CFR 1.17 (q)	
1806	180	1806	180	Submission of Information Disclosure Stmt	180.00
8021	40	8021	40	Recording each patent assignment per property (times number of properties)	
1809	770	2809	385	Filing a submission after final rejection (37 CFR § 1.129(a))	
1810	770	2810	385	For each additional invention to be examined (37 CFR § 1.129(b))	
1801	770	2801	385	Request for Continued Examination (RCE)	
1802	900	1802	900	Request for expedited examination of a design application	

Other fee (specify) \_\_\_\_\_


\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3)

(\$180)

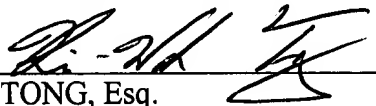
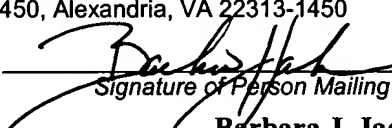
## SUBMITTED BY

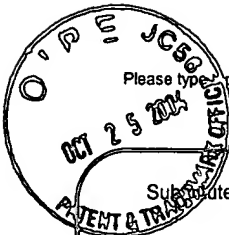
Complete (if applicable)

Name (Print/Type)	Kin-Wah Tong	Registration No. Attorney/Agent)	39,400	Telephone	732-530-9404
Signature		Date	10/20/04		

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<b>TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT</b> <b>Under 37 CFR 1.97(b), (c), or (d)</b>			Docket No. <b>SRI 4190-3</b>
In re Application of: <b>de Jesus Valdes, et al.</b>			
Serial No. <b>09/711,323</b>	Filing Date <b>November 9, 2000</b>	Examiner <b>Moorthy, Aravind K.</b>	Group Art Unit <b>1E061ED</b>
<div style="display: flex; justify-content: space-between;"> <div style="border: 2px solid black; border-radius: 50%; padding: 10px; transform: rotate(-15deg);"> <p style="text-align: center;">OCT 25 2004</p> <p style="text-align: center;">PATENT &amp; TRADEMARK OFFICE</p> </div> <div> <p style="text-align: center;"><b>SENSOR AND ALERT CORRELATION IN INTRUSION DETECTION SYSTEMS</b></p> <p style="text-align: center;">Address to: Commissioner for Patents Alexandria, VA 22313-1450</p> <p style="text-align: right;">OCT 28 2004 <b>Technology Center 2100</b></p> </div> </div>			
<b>37 CFR 1.97(b)</b>			
1. <input type="checkbox"/> The Information Disclosure Statement submitted herewith is being filed within three months of the filing of a national application other than a continued prosecution application under 37 CFR 1.53(d); within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; before the mailing of a first Office Action on the merits; or before the mailing of a first Office Action after the filing of a request for continued examination under 37 CFR 1.114.			
<b>37 CFR 1.97(c)</b>			
2. <input checked="" type="checkbox"/> The Information Disclosure Statement submitted herewith is being filed after the period specified in 37 CFR 1.97(b), but prior to the mailing date of a Final Action under 37 CFR 1.113, a Notice of Allowance under 37 CFR 1.311, or an Action that otherwise closes prosecution in the application, and is accompanied by the statement or fee as indicated below.			
<b>37 CFR 1.97(d)</b>			
3. <input type="checkbox"/> The Information Disclosure Statement submitted herewith is being filed after the period specified in 37 CFR 1.97(c), but on or before payment of the issue fee and is accompanied by the statement and fee as indicated below.			
<b>Required Statements and/or Fees Under 37 CFR 1.97(c) or (d)</b>			
<input type="checkbox"/> Each item of information contained in the accompanying Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the Information Disclosure Statement. (37 CFR 1.97(e)(1))			
<input type="checkbox"/> No item of information in the accompanying Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the undersigned person, after making reasonable inquiry, no item of information contained in the accompanying Information Disclosure Statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the Information Disclosure Statement. (37 CFR 1.97(e)(2))			
<input checked="" type="checkbox"/> The fee set forth in 37 CFR 1.17(p). Please credit any overpayment or charge any insufficiencies to deposit account number 20-0782.			
<b>37 CFR §1.704(d)</b>			
4. <input type="checkbox"/> Each item of information in the accompanying Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart application and this communication was not received by any individual designated in 37 CFR §1.56(c) more than thirty days prior to the filing of the Information Disclosure Statement.			
 <b>Kin-Wah TONG, Esq.</b> Reg. No. 39,400  <b>Moser, Patterson &amp; Sheridan, LLP</b> <b>Attorneys at Law</b> <b>595 Shrewsbury Avenue, Suite 100</b> <b>Shrewsbury, New Jersey 07702</b> <b>732-530-9404</b>		Dated: <u>10/20/04</u>  <div style="border: 1px solid black; padding: 5px;"> <p style="text-align: center;"><b>Certificate of Mailing by First Class Mail</b></p> <p>I certify that this document is being deposited on <u>10-21-2004</u> with the U.S. Postal Service as first class mail under 37 CFR §1.8 and is addressed to the Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450</p> <p style="text-align: center;">               Signature of Person Mailing Correspondence  <b>Barbara J. Jackson</b>              Typed or Printed Name of Person Mailing Correspondence           </p> </div>	



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PTO/SB/08a (08-03)

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## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Application Number	09/711,323
Filing Date	11/09/2000
First Named Inventor	De Jesus Valdes, et al.
Group Art Unit	2131
Examiner Name	Moorthy, Aravind K.
Attorney Docket Number	SRI/4190-3
Submission Date	

Sheet 1

of 3

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### U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>2</sup> (if known)			
	A1	US-5,568,471	10-22-96	Hershey et al.	
	A2	US-5,704,017	12-30-97	Heckerman et al.	
	A3	US-6,092,194	07-18-00	Touboul	
	A4	US-6,279,113	08-21-01	Vaidya, V.	
	A5	US-6,370,648	04-09-02	Diep, T	
	A6	US-6,408,391	06-18-02	Huff, et al.	
	A7	US-6,502,082	12-31-02	Toyama et al.	
	A8	US-			
	A9	US-			
	A10	US-			
	A11	US-			
	A12	US-			
	A13	US-			
	A14	US-			
	A15	US-			
	A16	US-			
	A17	US-			
	A18	US-			

### FOREIGN PATENT DOCUMENTS

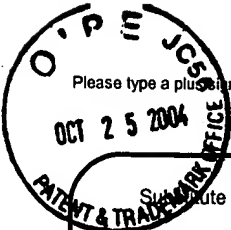
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup> -Number <sup>4</sup> -Kind Code <sup>5</sup> (if known)				
	B1					
	B2					
	B3					
	B4					
	B5					

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Date Considered

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## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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Sheet 2

of 3

Application Number	09/711,323
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First Named Inventor	De Jesus Valdes, et al.
Group Art Unit	2131
Examiner Name	Moorthy, Aravind
Attorney Docket Number	SRI/4190-3
Submission Date	

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### NON PATENT LITERATURE DOCUMENTS

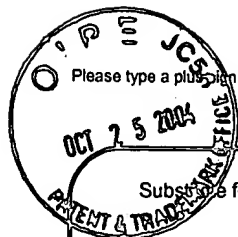
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T <sup>2</sup>
	C1	Anderson, D. et al., "Next-generation Intrusion Detection Expert System (NIDES) A Summary," May 1995	
	C2	Anderson, et al., "Next-generation Intrusion Detection Expert System (NIDES) Software Users Manual", December 1994	
	C3	Cheeseman, et al., "Bayesian Classification (AutoClass): Theory and Results," in <u>Advances in Knowledge Discovery and Data Mining</u> , Usama M. Fayyad, Gregory Piatetsky-Shapiro, Padhraic Smyth, & Ramasamy Uthurusamy, Eds. AAAI Press/MIT Press, 1996. pg 61-83	
	C4	Decasper, et al., "Router Plugins A Software Architecture for Next Generation Routers," Proceedings of the ACM SIGCOMM '98 conference on Applications, technologies, architectures, and protocols for computer communication, Vancouver, British Columbia, Canada, Pages: 229 – 240	
	C5	DuMouchel, W., "Computer Intrusion Detection Based on Bayes Factors for Comparing Command Transition Probabilities," NISS, Technical Report Number 91, February 1999	
	C6	Frank, J., "Artificial Intelligence and Intrusion Detection: Current and Future Directions," Division of Computer Science, University of California at Davis, June 1994	
	C7	Lindquist, et al., "Detecting Computer and Network Misuse Through the Production-Based Expert System Toolset (P-BEST)," in Proceedings of the 1999 Symposium on Security and Privacy, Oakland, CA May 9-12, 1999	
	C8	Neumann, et al., "Experience with EMERALD to Date," Proceedings of the Workshop on Intrusion Detection and Network Monitoring, 73 – 80, 1999	
	C9	Rowland, C., "Network Attack Trend Analysis," allegedly dated November 22, 1997, Newsgroups: muc.list.bugtraq	
	C10	Ryan, et al., "Intrusion Detection with Neural Networks," Advances in Neural Information Processing Systems 10, Cambridge, MA, MIT Press, 1998	

Examiner

Date Considered

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. 1 Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached.

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**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Sheet 3

of 3

Application Number	09/711,323
Filing Date	11-09-2000
First Named Inventor	De Jesus Valdes, et al.
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Attorney Docket Number	SRI/4190-3
Submission Date	

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**NON PATENT LITERATURE DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T <sup>2</sup>
	C11	Complaint for Declaratory Judgment, Internet Security Systems, Inc., v. SRI International, Inc., US District Court, Northern District of Georgia, Civil Action No. 104 CV 2402, filed August 17, 2004	
	C12	Complaint for Patent Infringement; Demand for Jury, SRI International, Inc. v. Internet Security Systems, Inc. et al., US District Court, District of Delaware, Case No. 04-1199, Filed August 26, 2004	
	C13	The RealSecure 1.2 Manual web.archive.org/web/19970709202745/www.iss.net/eval/manuals.html, alleged dated 9 July 1997	
	C14	"Real-time attack recognition and response: A solution for tightening network security", Internet Security Systems, web.archive.org/web/19970721183811/iss.net/prod/whitepaper.html, allegedly dated July 21, 1997	
	C15	Roesch, M., "SNORT- Lightweight Intrusion Detection for Networks," Proceedings of LISA '99: 13th Systems Administration Conference, November 7-12, 1999, Seattle, WA 229-238	
	C16	Symantec Corporation's Answer and Counterclaims to SRI International, Inc.'s Complaint, SRI International, Inc. v. Internet Security Systems, Inc. et al., US District Court, District of Delaware, Case No. 04-1199, Filed October 15, 2004	
	C17		
	C18		
	C19		
	C20		
	C21		
	C22		

Examiner

Date Considered

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